



STATE
EXAMINATION
SYSTEM

SES Release Notes
Release Name: Colorado
Release Date: February 27, 2023

The purpose of these release notes is to provide a summary of SES functionality and system enhancements in the Colorado Release.

Overview

Several new features and system enhancements have been included in the State Examination System (“SES”) *Colorado Release*. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as “SA”) and Consumer Complaints. The Colorado Release introduces the ability for agencies to send multistate invitations to other agencies of their choice, retract the report package sent to the company, view documents on a company’s record related to external supervision, updating a SA created by policy users, and sending acceptance documents to the company. Additionally, several small enhancements have been made throughout the system for a richer user experience which include end-to-end navigation solutions in various areas of the system.

I. **Agency Users**

- A. **Agency Invitations:** In addition to the join request workflow, agency users provided feedback requesting the ability to proactively invite other agencies to join and conduct a multistate SA. In the Colorado Release, this enhancement will allow the staff directors from the lead agency to invite one or more agencies to join their SA. The receiving agency will have the ability to accept or reject the invitation to join the SA and the invitation will remain until the report is sent or before the closeout milestone is reached. The invitation enhancement will help notify agencies of SA activity in the system and should result in better collaboration and awareness across the agencies.

- B. **Report Retraction:** With the Colorado Release, agency users will have the ability to retract the report package sent to a company before the company responds to the report. This enhancement has been put in place in case the agency sends the wrong report package to the company. Once the report package is sent, the EIC or staff user who is a participant from the lead agency can choose to retract the full report package. Once this action is taken, the report package will be removed from the system entirely.

If there is only one report version: If the report only had a single version, the agency will be required to upload a report at the time the action is taken. This is so that the SA will remain in the drafting milestone. However, at this upload state, the report will not be shared with the company. The agency must redo the package assembler action, at which point the agency will have a last and final opportunity to upload the final report that will be shared with the company.

If there is more than one report version: In case the original report had more than one version, then the agency will not be required to upload a new report at the retraction step. In this instance, the last version will become the new report. In both cases, it is important to note that the report package will not immediately be sent to the company. The agency must reassign the package assembler who will have to confirm the final report. This retraction will help agency users remove the incorrect report and delete it from the system.

- C. External Supervisory Documents: With the Colorado Release, policy users who are CSBS support staff will be able to upload external supervisory documents on a company's record. These documents will be related to supervision activities conducted on the company by external agencies such as the Consumer Financial Protection Bureau (CFPB), U.S. Department of Justice (DOJ) or Federal Reserve Board (FRB). With each upload, policy users will also classify the type of document that is uploaded and each time a document is uploaded in the system, a notification will be sent to staff directors of those agencies with which the company holds a license. Additionally, agency users must attest that their agency has jurisdiction over a given company and can view the documents. This attestation audit will remain in the system and policy users can view the history for users who attested to view the documents.

- D. Agency Enhancements: Another SES enhancement will allow policy users CSBS support staff to create a SA record in the system for multistate SAs in SES. The policy user will be able to add basic SA fields, enter a lead agency, and give the SA a designation. Examples include Multistate Mortgage Committee (MMC) and One Company One Exam (OCOE). After the SA is created, the policy user will only be able to update the SA until the lead agency assigns an EIC. Once the lead agency begun to update the SA, other agencies can be invited to join, and other agencies can send the join request to participant on the SA. Due to the designation given to these SAs, agency users will be able to locate these on the SA tab and filter by these SAs and their designations. Finally, agency users will see that they now can share documents with the company when they utilize the Acceptance workflow and accept another agency's SA. Agencies had previously given feedback that in addition to notifying the company of acceptance, regulators must also send additional communication and documents.

II. **System-wide enhancements**

With the Colorado Release, all users will see navigation improvements have been made throughout the system. Across the system, users will see that the end-to-end navigation experience has been improved when updating the library, responding to IRs, as well as working procedures and loan file requests. The system will maintain the filters if selected by users and be able to work IRs and procedures from various areas of the system. Finally, the report response task will be on both the task section, summary tab as well as the report tab. Overall, users will receive notifications for various activity across the system and design enhancements to improve the supervision workflow.

#	Title	Description	Context (User)	Feature
Supervisory Activity				
SES-2840 (10.1)	Agency: EIC & SU can retract a report sent to the company	The EIC and staff user who is a participant on the SA can retract the full report package that was sent to the company.	Agency	Report
SES-2830 (10.2)	Policy Users: Adding Federal & External State Supervisory Documents to Company's tab	Policy users will be able to add and update external state supervisory documents on the company's record. Upon addition or modification, a notification will be sent to agency staff directors at the agencies where the company has ever held a license, is currently licensed, or is applying for a license.	Policy	Company Record
SES-2836 (10.2)	Agency: Viewing and accessing Federal & External State Supervisory Documents	An agency user with access to a company's record will be able to view the external supervisory documents tab and view the documents that have been uploaded by the policy user.	Agency	Company Record
SES-2831 (10.2)	Policy Users: Creating SA Shells	The policy users in SES will be able to create multistate SA records and select fields pertaining to the SA. Such SAs will have a specific designation given by the policy users.	Policy	SA Initiation
SES-2838 (10.3)	Agency Staff Director of Lead Agency: Updating a SA created by policy User	An agency staff director from the lead agency that is selected by the policy user will be able to update aspects of the newly created SA. Additionally, the lead agency will be able to send invitation requests to other agencies asking them to join the SA and other agencies can request to join the SA.	Agency	SA Initiation
SES-2838 (10.3)	Report task on Report tab	The report response task will be on the report tab in addition to the summary tab and task section.	Company	Report
SES-2837 (10.1)	Policy User: Library Managing SA Designations and Supervisory Document Types	The policy users in SES will be able to add and manage areas of the library for external supervisory documents. This will include a list of entities that conduct external supervision and the document type. Additionally, policy users will be able to manage SA designations for SAs in the system.	Policy User	Library
SES-2070 (10.1)	Agency: Inviting another agency to Join your SA	An agency staff director from the lead agency can choose to invite one or more agencies to join their SA and conduct a multistate SA on a company.	Agency	Join Request
SES-2071 (10.1)	Agency: Invited Agency can accept or reject to join the SA	An agency staff director who receives an invitation to join a SA can choose to accept or reject the invitation sent by the lead agency.	Agency	Join Request

#	Title	Description	Context (User)	Feature
SES-2826 (10.1)	Agency: Report of Invitation to a SA	Agency staff directors and staff users can view a report of invitations that were sent and received by their agency. The users can also view the invitation decision on the various SAs.	Agency	Report
SES-2848 (10.2)	Agency & Company: IR and Loan Request Roundtripping	Several system enhancements were created for agency and company users to improve the IR and loan request workflows on a SA.	Agency & Company	Information Requests & Loan Requests
SES-2846 (10.3)	Procedure Round Tripping: System will direct users to work procedures	This enhancement has been made on the procedures detail grid. When users complete work on a single procedure, they will be directed back to the procedure details tab with the filters set by the user.	Agency	Procedures
SES-2829 (10.3)	Agency: Procedure Round Tripping Design	The agency users when working on a procedure will be able to work procedures in bulk directly from the examination tab.	Agency	Procedures
SES-2828 (10.3)	Library: Round Tripping Design	The filters set by the agency and support users when adding or updating items in the agency library will remain decreasing the number of clicks and saving time for the users.	Agency & Support	Library
SES-2074 (10.3)	Agency: Sending Acceptance Documents to the Company	When agency users are completing the acceptance workflow on another agency's SA, they will have the ability to send documents to the company. However, this is only if the user completing acceptance chooses to notify the company.	Agency	Acceptance